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## PATENT APPLICATION

### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Docket No: Q76956

Shinya WATANABE, et al.

Appln. No.: 10/648,276

Group Art Unit: 2811

Confirmation No.: 4435

Examiner: Jennifer M. DOLAN

Filed: August 27, 2003

For: SEMICONDUCTOR CHIP HAVING AN ARRAYED WAVEGUIDE GRATING AND METHOD OF MANUFACTURING THE SEMICONDUCTOR CHIP AND MODULE CONTAINING THE SEMICONDUCTOR CHIP

#### **INFORMATION DISCLOSURE STATEMENT** **UNDER 37 C.F.R. §§ 1.97 and 1.98**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

1. U.S. Patent No. 5,926,586, published July 20, 1999.
2. Japanese Laid-Open Patent Application Publication No. 2001-21743, published January 26, 2001.
3. Japanese Unexamined Patent Application Publication No. H08-190028, published July 23, 1996.

## INFORMATION DISCLOSURE STATEMENT

U.S. Appln. No.: 10/648,276

4. Japanese Unexamined Patent Application Publication No. H09-197150, published July 31, 1997.

5. Japanese Unexamined Patent Application Publication No. H10-96831, published April 14, 1998.

6. U.S. Patent No. 5,919,383, published July 6, 1999.

7. U.S. Patent No. 5,952,725, published September 14, 1999.

One copy of each of the listed documents, other than any U.S. patents and patent publications, is submitted herewith, together with a Canadian Office Action dated May 7, 2004 issued in the corresponding Canadian Patent Application which cites references 6-7.

The present Information Disclosure Statement is being filed after the later of three months from the application's filing date and the mailing date of the first Office Action on the merits, but before a Final Office Action, Notice of Allowance, or an action that otherwise closes prosecution in the application (whichever is earlier), and therefore Applicant is filing concurrently herewith a Statement Under 37 C.F.R. § 1.97(e). No fee under 37 C.F.R. § 1.17(p) is required.

In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicant encloses herewith a copy of a corresponding Japanese Office Action dated June 1, 2004 and an English translation of the pertinent portions thereof which cites such documents and indicates the degree of relevance found by the foreign patent office.

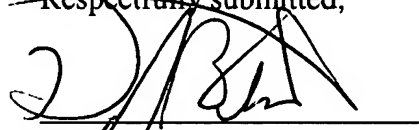
INFORMATION DISCLOSURE STATEMENT

U.S. Appln. No.: 10/648,276

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account. A duplicate copy of this paper is attached.

~~Respectfully submitted,~~

A handwritten signature in black ink, appearing to read 'H. Bernstein', is written over a horizontal line.

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WASHINGTON OFFICE

**23373**

CUSTOMER NUMBER

Date: August 31, 2004



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**STATEMENT UNDER 37 C.F.R. § 1.97(e)**


Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The undersigned hereby states, upon information and belief:

That each item of information contained in the Information Disclosure Statement filed  
concurrently herewith was first cited in any communication from a foreign patent office in a  
counterpart foreign application not more than three months prior to the filing of said Information  
Disclosure Statement.

Respectfully submitted,

  
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Substitute for Form 1449 A &amp; B/PTO

Complete if Known

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

Application Number	10/648,276
Confirmation Number	4435
Filing Date	August 27, 2003
First Named Inventor	Shinya WATANABE
Art Unit	2811
Examiner Name	Jennifer M. DOALN
Attorney Docket Number	Q76956

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code <sup>2</sup> (if known)		
		US 5,919,586	A	07-06-1999	Beguin et al.
		US 5,926,586	A	07-20-1999	Dragone et al.
		US 5,952,725	A	09-14-1999	Ball
		US			
		US			
		US			
		US			
		US			
		US			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			
		JP	2001-21743	A	01-26-2001		No
		JP	H08-190028	A	07-23-1996		No
		JP	H09-197150	A	07-31-1997		No
		JP	H10-96831	A	04-14-1998		No

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation <sup>6</sup>

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to indicate here if English language Translation is attached.